

04-09-01

PTO/SB/05 (11-00)

Please type a plus sign (+) inside this box →

+

Approved for use through 10/31/2002. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCEUTILITY  
PATENT APPLICATION  
TRANSMITTAL

Only for new nonprovisional applications under 37 CFR 1.53(b)

Attorney Docket No. 027448.0008

First Inventor Dustin M. Davis

Title Method and System For Consummating A Transaction In A Biometric Verification System Based On Prior Transactional Histories

Express Mail Label No. EF062174117US

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

## ADDRESS TO:

Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

1. ☐ Fee Transmittal Form (e.g., PTO/SB17)  
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 52]  
(preferred arrangement set forth below)  
- Descriptive title of the invention  
- Cross Reference to Related Applications  
- Statement Regarding Fed sponsored R & D  
- Reference to sequence listing, a table, or a computer program listing  
appendix  
- Background of the Invention  
- Brief Summary of the Invention  
- Brief Description of the Drawings (if filed)  
- Detailed Description  
- Claims  
- Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
5. ☒ Oath or Declaration [Total Sheets 2]  
a. ☐ Newly executed (original or copy)  
b. ☐ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 18 completed)  
i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:  
i. ☐ CD-ROM or CD-R (2 copies); or  
ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & Document(s))
10. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney  
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☒ Information Disclosure ☒ Copies of IDS  
Statement (IDS/PTO-1449 citations)
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(B)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
17. ☐ Other: \_\_\_\_\_

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: \_\_\_\_\_/\_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group Art Unit: \_\_\_\_\_

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

☒ Correspondence address below

John H. D'Antico; Registration No. : 45,917

Brobeck, Phleger & Harrison LLP	4801 Plaza on the Lake	Austin	TX	78746	(512) 330-4048	(512) 330-4001
Firm	Address	City	State	Zip	Telephone	Facsimile
Signature	Date			April 5, 2001		

## Certificate of Mailing under 37 CFR 1.10

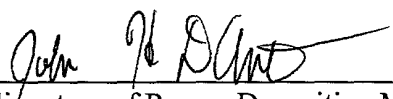
Upon reasonable basis and information and belief, I hereby certify, to the best of my knowledge, that this correspondence, including those papers, letters, or fees, if any, listed below or otherwise referred to as being attached, enclosed, or otherwise affixed hereto, is being deposited with the United States Postal Service on the date set forth below with sufficient postage as "Express Mail Post Office to Addressee" in an envelope addressed to:

Box PATENT APPLICATION  
Commissioner for Patents  
Washington, D.C. 20231

EF062174117US  
Express Mail Label No.

John H. D'Antico  
Name of Person Depositing Mail

April 5, 2001  
Date of Deposit

  
Signature of Person Depositing Mail

### Correspondence Submitted Herewith:

Utility Patent Application Transmittal (1 pg)  
Utility Patent Application Cover Sheet (1 pg)  
Specification (52 pgs)  
Drawings (6 sheets)  
Declaration (2 pgs)  
Recordation Form Cover Sheet and Assignment (4 pgs)  
Grant of Power of Attorney (2 pgs)  
Verified Statement Claiming Small Entity Status (1 pg)  
Information Disclosure Statement (2 pgs)  
Form PTO-1449 (3 pgs)  
26 cited references  
Return Postcard